

## DRAFT – FOR GNSO SOI TF CONSIDERATION

The GNSO Statement of Interest Task Force recommends that:

1. The current Statement of Interest template is divided into two parts, namely:
  - a. General Statement of Interest which contains general information about a participant to understand their background and motivation for participating in GNSO activities.
  - b. Activity Specific Statement of Interest which is information that is provided specific to the activity a participant has requested to participate in. For example, what is their motivation for participation in that activity as well as possible impact on the individual and/or their employer of the outcomes of the process.
2. The General Statement of Interest would consist of the following questions (note, some of these have been updated compared to the current questions to provide further guidance and/or specificity) :
  - a. Your name;
  - b. GNSO Stakeholder Group - note, you are expected to indicate all GNSO Stakeholder Groups you participate in and provide details on your level of participation (for example, voting member, non-voting member, observer);
  - c. GNSO Constituency - you are expected to indicate all GNSO Constituencies you participate and provide details on your participation (for example, voting member, non-voting member, observer);
  - d. Affiliation (if not covered by b or c) - if you are affiliated with multiple organizations or entities, please list these all and include a link to their web-site(s).
  - e. Please identify your current employer(s);
  - f. Please identify any other ICANN activities in which your employer(s) participates, if applicable;
  - g. Please identify your current position(s):
  - h. Please identify the type(s) of work performed:
  - i. Please identify your declared country of primary residence (e.g., country to which you pay taxes):
  - j. Please list any financial relationship beyond de minimis stock ownership you may have with any company that to your knowledge has a financial relationship or contract with ICANN.
  - k. Please identify any Working Groups or other chartered teams in which you are participating (include acronyms, if applicable):
  - l. Additional information (optional - any other declarations or disclosures that are relevant to your participation)
3. The information contained in the General Statement of Interest is required to be updated in a timely manner when changes have occurred that require an update to these questions. In addition, a yearly reminder [should/must] be sent to those with an SOI on file with the request to review their information and make sure it is still up to date. If a person with an SOI on file is no longer active in any ICANN activities, they should also be able to request a deletion of their SOI on file and have that request reviewed.

4. The Activity Specific Statement of Interest is to be completed for each GNSO activity a participant signs up for. As part of the introductory meeting, each participant is expected to introduce their activity specific statement of interest and address any questions other participants may have.
5. The Activity Specific Statement of Interest consists of the following (existing questions):
  - a. Are you participating in the GNSO policy process as a representative of any individual or entity, whether paid or unpaid?  
If the answer is “Yes,” please provide the name of the represented individual or entity. (If professional ethical obligations prevent you from disclosing this information, please provide details on which ethical obligations prevent you from disclosing and provide a high level description of the entity that you are representing without disclosing its name, for example “I represent a Registry client” or “I am representing a non-GNSO related entity” ):
  - b. Please identify any other relevant arrangements, interests, or benefits as requested in the following two questions:
    - i. Do you, your employer or your client have any type of material interest in ICANN GNSO policy development processes and outcomes? If the answer is “yes,” please describe the material interest in ICANN GNSO policy development processes and outcomes:
    - ii. Are there any arrangements/agreements between you and any other group, constituency, client or person(s) regarding your participation as a work team member? If the answer is “yes,” please describe the arrangements/agreements and the name of the group, constituency, or person(s):
  - c. Additional information (optional)
6. The information contained in the Activity Specific Statement of Interest is required to be updated in a timely manner when changes have occurred that require an update to these questions, if the activity for which the statement has been provided is still ongoing.
7. From a display perspective, the General Statement of Interest is the “parent” while any Activity Specific Statement of Interests are organized as its “children”.
8. A number of use cases have been developed [to be completed] by the TF that will serve as example / instructions for those completing the templates to provide the appropriate level of detail / information.
9. The GNSO SOI Task Force recommends that prior to these recommendations being adopted, a pilot is conducted from which feedback is gathered by the SOI TF to determine whether updates need to be considered. Such a pilot could be carried out in parallel to the public comment forum using an existing group so that it would be possible for the participants to share their views on the current vs. the proposed updated SOI that would help inform the SOI TF’s review of the proposed updates in light of public comments received as well as the test group’s experience.

## **Enforcement and Escalation**

## **ANNEX A - Chapter 6.0: Statements of Interest**

### **6.1 Definitions**

Generic Names Supporting Organization (GNSO) Group:

- a. the GNSO Council, or
- b. a work team, working group, committee or other such policy development body formed by and under the supervision of the GNSO Council.

Relevant Party: An individual who participates as a member of a GNSO Group.

Statement of Interest: A written statement made by a Relevant Party that provides a declaration of interests that may affect the Relevant Party's judgment, on any matters to be considered by the GNSO Group.

Material Interest: A material interest is an important interest and is generally, but not always, financial in nature. However, in the legal sense, the interest needs to be substantial or of consequence.

### **6.2 Policy**

#### **6.2.1 Purpose**

The purpose of this policy is to set forth responsibilities and procedures pertaining to the content, creation, timely update, accuracy, completeness, and compliance of Statements of Interest as defined in [Section 6.1](#).

#### **6.2.2 Compliance**

Each Relevant Party is responsible for ensuring that he or she complies with this policy.

Failure to comply with these procedures is covered in [Section 6.5](#).

This policy is administered by ICANN Staff. Administration includes informing new members of groups of the policies, posting all Statements of Interest, and following up on any requests from the Chairs of GNSO Groups pertaining to this procedure.

#### **6.2.3 Exemptions**

Full time ICANN Staff members are exempt from the individual responsibility of completing a Statement of Interest by virtue of ICANN posting a global Statement of Interest confirming that all employees and individuals who have an exclusive contract with ICANN are representing the interests of ICANN, and no others, at all times. The exemption does not extend to Staff who do not have an exclusive contract with ICANN.

### **6.3 Statement of Interest Procedures**

#### **6.3.1 Timeliness**

Relevant Parties are required to provide to the GNSO Secretariat a Statement of Interest, updated not less frequently than once a year or whenever there is a material change, setting forth those specified interests, relationships, arrangements, and affiliations that may affect the judgments of Relevant Parties in the conduct of their participation within the GNSO. A completed Statement of Interest, updated at least annually, is a precondition for Relevant Parties to participate in a GNSO Group.

At the beginning of each meeting the Chair of the GNSO Group shall ask all Relevant Parties whether they have updates to their Statements of Interest.

### **6.3.2 Electronic Form and Publication**

To ensure consistency, ICANN Staff shall develop, maintain, and provide to Relevant Parties an electronic Statement of Interest form including procedures and instructions pertaining to its completion online. ICANN Staff shall make available an alternative arrangement (e.g., email) in the event that a Relevant Party does not have the necessary Internet access or capability to complete the form online. ICANN Staff shall post the completed Statements of Interest in the relevant section of the GNSO web site prior to Relevant Parties undertaking any activity.

### **6.3.3 Content**

Relevant Parties shall complete all six sections of the Statement of Interest form as specified below:

1. Please identify your current employer(s) and position(s).
2. Please identify your declared country of primary residence (which may be the country to which you pay taxes).
3. Please identify the type(s) of work performed at #1 above.
4. Please list any financial relationship beyond *de minimus* stock ownership you may have with any company that to your knowledge has a financial relationship or contract with ICANN.
5. Do you believe you are participating in the GNSO policy process as a representative of any individual or entity, whether paid or unpaid? Please answer “yes” or “no.” If the answer is “yes,” please provide the name of the represented individual or entity. If professional ethical obligations prevent you from disclosing this information, please so state.
6. Please identify any other relevant arrangements, interests, or benefits as requested in the following two questions:
  - i. Do you have any type of material interest in ICANN GNSO policy development processes and outcomes? Please answer “yes” or “no.” If the answer is “yes,” please describe the material interest in ICANN GNSO policy development processes and outcomes.
  - ii. Are there any arrangements/agreements between you and any other group, constituency or person(s) regarding your participation as a work team member? Please answer “yes” or “no.” If the answer is “yes,” please describe the arrangements/agreements and the name of the group, constituency, or person(s).

### **6.3.4 Timing of Updates and Recordation**

A Relevant Party shall provide any changes/and or updates to his or her Statement of Interest within ten business days of any material change in any information appearing in the statement of interest form. Such changes shall also be recorded in the minutes of the meeting at which the Relevant Party advises of such change and should be posted as soon as possible.

## **6.4 Completeness and Accuracy**

### **6.4.1 Completeness**

ICANN Staff shall review each Relevant Party's Statement of Interest to ensure completeness. If ICANN Staff has reason to believe that a Relevant Party's documentation is not complete, ICANN Staff shall notify the Relevant Party and request that the omitted or missing information be provided or, if there are extenuating circumstances, explanation as to why the document is incomplete. If the matter cannot be satisfactorily resolved with the Relevant Party after a reasonable period, Staff shall raise the matter with the applicable Chair pursuant to [Paragraph 65.4.3](#).

### **6.4.2 Accuracy**

Concerns raised by ICANN Staff or a member of the ICANN community about the accuracy of a Relevant Party's Statement of Interest, including whether an interest that may affect the Relevant Party's judgment with respect to a pending matter has been disclosed, shall be brought to the attention of the applicable Chair and handled pursuant to [Paragraph 65.4.3](#).

### **6.4.3 Appeal Process**

If concerns about the completeness and/or accuracy of a Statement of Interest persist after reasonable attempts are made to resolve them with the Relevant Party, the matter shall be brought to the attention of the applicable Chair and handled according to decision-making methodology and appeal process as prescribed in the GNSO Working Group Guidelines ([ANNEX 1](#), Sections 3.6 and 3.7). At each step of the appeal process, every effort should be made to resolve the completeness and/or accuracy concerns by working cooperatively with the Relevant Party.

## **6.5 Failure to Comply**

### **6.5.1 Requirement to Participate**

A Statement of Interest form must be submitted by each Relevant Party in accordance with these procedures. If a Relevant Party fails to provide a Statement of Interest once a year or whenever there is a material change, the Chair may temporarily suspend that Relevant Party's participation until the Statement of Interest is provided. Participation shall not be suspended if a Statement of Interest is subject to the Appeals process of [Paragraph 65.4.3](#) until a final determination is made under that process.

### **6.5.2 Suspension**

Pursuant to the appeal provisions referenced in [Paragraph 65.4.3](#), if it is determined that a Relevant Party has not complied with these procedures, the GNSO Council Chair, in consultation with the Vice-Chairs, may suspend that Relevant Party's participation in a GNSO group until the failure to comply has been remedied. The ICANN General Counsel and GNSO Council will be notified when such actions are taken as a matter of protocol and the decision to take this step will be recorded in the GNSO Council minutes. If the failure to comply pertains to a Chair, the applicable Vice-Chairs shall act pending completion of the appeal process. If the failure to comply pertains to the GNSO Council Chair, the Vice-Chairs shall act after consulting with the ICANN Vice President - Policy Development.